

ROUTING AND RECORD SHEET

SUBJECT: (Optional)

OC Banding Task Force Report

FROM:

AC/PMCD/OP

EXTENSION

NO.

DATE 02 AUG 1984

TO: (Officer designation, room number, and building)

DATE

RECEIVED

FORWARDED

OFFICER'S INITIALS

COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)

1. DD/PA&E

2.

3. EO-D/PERS

4.

5. DD/PERS

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7. D/PERS

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Attached is a copy of the draft OC Banding Task Force Report for your information. Mr. Donnelly is making several changes in the recommendations. These changes are primarily in terminology. For example, he wants a new name for evaluation worksheets to put distance between the old system and the new. The only significant substantive change we are aware of is to limit input to pay decisions from line managers to a recommendation. Final pay decisions will be made by the Headquarters panels and the Director of Communications.

The performance standards and administrative procedures developed to this point are stringent and should form a basis for a sound system. However, there are a number of nitty gritty details yet to be worked out which will have significant impact. One of the key decisions is on the recommendation the task force made to pro rate WGI's as of the conversion date. This process has yet to be adequately defined and could cost from about \$200k to \$500k additional, depending on the procedure selected. Although probably a worthwhile expense, more detail is needed. Conversion without pro rata will cost about \$217k.

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MEMORANDUM FOR: Director of Communications
FROM: Task Force on Banding
SUBJECT: Banding Pay System for Telecommunications
Officers

1. On 7 June a task force consisting of Office of Communications and Office of Personnel representatives was appointed to draft procedures for grade banding of the Telecommunications Officers Series (TCO). The following draft procedures are recommended to implement the banding pay system 1 October 1984:

A. Convert all TCO Series employees from GS to appropriate band level (at or the next higher salary increment) 1 October 1984 (or first pay period in October). Employees being converted will not have to meet new promotion criteria.

B. All WGI's that are to be effective on or before 31 September 1985 will be effected 1 October 1984 on a prorata basis.

C. Continue all UPS evaluation exercises through February 1985 on the present GS system--complete cycle.

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D. Use only a portion of the headroom available in promoting employees to next higher grade equivalent in appropriate band.

E. All QSI's recommended must be approved and made effective before 1 October 1984.

F. Evaluation criteria will be sent to managers in the field and Headquarters components. Teams will be appointed to educate managers and employees on the new evaluation and banding system.

*G. In accordance with the newly established PAR and Evaluation schedule (see attachment 2) components will submit all evaluation worksheets to Headquarters. PAR narratives should address factors listed on the Headquarters evaluation worksheet (see attachment 1B). Increment increases will be determined by component managers and promotions between band levels will be decided by Headquarters panels--all recommendations are subject to the approval of the Director of Communications.

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H. Headquarters appointed panels using Component Evaluation Worksheets and promotion criteria (see attachment 1A) and Headquarters Evaluation Worksheet (see attachment 1B) will determine promotions to the next higher band levels. Employees do not have to be assigned a Category I descriptor to be considered for maximum increments or promotions.

I. Annual evaluations under the new system will be completed prior to August. Increments and promotions made from the first banding evaluation exercises will utilize remaining FY-85 personal services funds. Trainees in Band Level I will be awarded increment increases out of cycle.

J. Employees converting to and from GS positions will convert at equivalent grade and step.

K. Employees transferring from one OC component to another within an evaluation cycle will receive an evaluation and recommendation . . .

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from the losing component which will be forwarded to the gaining component. The gaining component will make the final evaluation for increment increases and promotion recommendations to headquarters.

L. All Component Evaluation Worksheets should be considered a counseling tool and must be discussed with employees at their request.

M. While it is recognized that PAR ratings and recommendations for increments may ^{escalate} ~~escalate~~, the Committee feels that senior managers will police the system to the extent that only superior performers will receive maximum increment increases, outstanding performers will receive the average number of increment increases, and good employees will receive only one or two increment increases. Slightly below average performers can receive a one increment increase. Employees who do not meet acceptable standards

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will receive no increase for the current evaluation period. The D/CO will evaluate Component Chief on their discretion of assigning individual evaluations.

N. Increment recommendations will be stipulated by the following terminology: maximum, medium, minimum, and none.

O. The ratings (Component Evaluations Worksheet) will constitute approximately 80% of the overall rating, and the remaining 20% will be based on subjective evaluations by the headquarters panel using criteria as indicated on the Headquarters Evaluation Worksheet.

P. All promotion to next higher band level will be determined by requirements at that level.

Q. The Task Force recommends that component evaluations be done by a panel of senior level employees--preferably from Band Level IV. It is further recommended that for the first exercise,

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when possible, all panels be under the direction of the same chairman.

R. It is recommended that all employees receive a minimum of one increment increase annually through mid-point except Category IV employees. Also, all employees will receive the annual comparability increases.

2. It was unanimously agreed that only one promotion and merit pay cycle per year be entertained for the banding pay system. To take full advantage of all personal services money; it is recommended that all increment and promotion increases be determined near the end of the fiscal year. Also to be able to determine how much money can be allocated for each band level, pay increases for all employees should be done simultaneously. While this will be somewhat of an administrative burden, the evaluations can be staggered prior to the money being allocated.

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3. It is recommended that a bonus award system be established to be used in conjunction with the new pay program. The bonus system will be used to award employees:

- A. who have reached maximum salary in a band level and have not been selected for promotion;
 - B. whose performances merit recognition but not continual pay reward;
 - C. for special assignment or special performance recognition.
- Bonuses will be broken down into incremental values, but more than one incremental amount can be awarded. Recommendations for bonuses will be made by managers, reviewed at Headquarters, and approved by D/CO along with other annual scheduled pay adjustments.

4. Other Consideration:

- A. It is recommended that a committee be appointed to establish an appeals procedure.

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B. It is recommended that all TCO's be included in the banding experiment, and that all TCO Occupational Series positions, including those in other Agency components, be converted to banding.

*C. It is recommended that the following titles be used

with the banding program:	Trainee Level	I
	Operations Level	II
	Officer Specialist	III A
	Staff/Senior Operations	III B
	Senior Officer	IV

D. It is recommended that a committee be appointed to determine the need for personnel activities and capabilities menu. The menu will be used to provide guidance in determining the requirements for each band, and also, during conversion of employees from GS to band levels.

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E. It is recommended that category descriptors be used as part of the criteria for determining performance increases and/or promotions, rather than the criteria determining employee category descriptor which in turn would decide pay increase.

F. It is recommended that panels be established to determine conversion of all TCO Occupational Series employees to banding. Each of these panels would include personnel from this task force.

G. It is recommended that a small committee be appointed to coordinate and oversee all implementation and decision making. All decisions should be recorded with rationale for decisions; for example:

(1) OP, ODP, Finance, Comptroller and all components where OC employees are assigned must be consulted.

(2) Pull together and organize a briefing package needed to educate managers and employees.

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(3) Instructional Guide be prepared for Headquarters and Field use.

H. It is recommended that managers be briefed ASAP on the Banding Task Force recommendations. After the management briefing, employees should be briefed ASAP on status to date.

I. Recommend category descriptors be redefined for TCO Series employees (see attachment 3).

J. Recommendation for promotion criteria (see attachment 4).

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CONFIDENTIAL**COMPONENT EVALUATION WORKSHEET**

Date: _____

Name: _____ Band/Increment: _____ Panel: _____

Current Assignment: _____ Position/Title: _____ OC/EOD: _____

<u>Performance</u>	<u>Weight</u>	<u>Score</u>
Performance Appraisal Report (Overall) _____	X 5	_____
Category Descriptor		
I=3		
II=2	X 4	_____
III=1		_____
PAR Rating of Supervision (1 - 7 rating) _____	X 1	_____
Leadership (for non Supervisors)(1-4 rating) _____	X 1	_____
OC Tenure		
1 - 5 yrs=2		
6 -10 yrs=3		
11 -15 yrs=4	X 2	_____
16 - =5		
Interpersonal Relations (1 - 5 rating) _____	X 1	_____
Creativity (1 - 5 rating) _____	X 1	_____
Dedication (1-5 ratings)		
Judgment (1 - 5 rating) _____	X 1	_____
Initiative (1 - 5 rating) _____	X 1	_____
Self Expression (written and oral) (1 - 5 rating) _____	X 1	_____
	TOTAL	_____
Recommended for Promotion _____		

Comments:
 Recommend Increments
 (Maximum, medium, minimum or none) _____

Area/Component Chief

Date

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HEADQUARTERS EVALUATION WORKSHEET

Name: _____ Band/Increment: _____ Panel _____

Current Assignment _____ Position/Title: _____ OC/EOD _____

Field/Component Overall Rating Score (Factored) _____Evaluation Board ConsiderationsMobility (TDY Qualified &
Willingness to Serve)

Special Recognition (Awards, Commendations, etc.)

Training (See Attachment - Recommended List)

Experience (Tours & variety of assignments)

Previous PAR Ratings (last three PARs)

Productivity

Creativity

Interpersonal Relations

Written/Oral Skills

Promotion recommended _____
If No State Reason(s)Management Consideration (D/CO) _____

Total Person

RYBAT

Job Worth

Security

Total Contribution

Band _____ Increment _____

Chairman, Evaluation Board

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Board Composition

Three individuals at least next higher Band Level. One member should be from another technical expertise. Chairman will have option to vote. Recording secretary will be provided by AMD and will not have voting option.

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25X1
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PERFORMANCE APPRAISAL REPORT - An annual Performance Appraisal Report (PAR) will be completed on each employee in accordance with [redacted] or [redacted]. Each report will address the merits and deficiencies of each individual in accordance with appropriate regulations and guidelines. Component managers are charged with reviewing these reports and ensuring their ratings and comments address the criteria in accordance with established guidelines. Inflation of PARs will dilute the merit pay of those employees who warrant recognition of outstanding performance under banding criteria. The PAR rating is worth approximately 30% of the total field evaluation.

CATEGORY DESCRIPTOR - A category descriptor is assigned by the field component for each employee based on his overall evaluation. Included in this evaluation are the past performance record, opportunities for growth, capabilities and potential. Most employees are considered to be good performers and could receive a rating of Category III. Any employee who exceeds this rating, but is not outstanding would be rated as Category II. Only those employees who are truly outstanding are rated Category I. Poor performers (below the acceptable standards are considered Category IV). (See individual category definitions.)

SUPERVISION - This rating is assigned to any individual who has demonstrated supervisory responsibilities during the rating period. This rating (and related duty) must be reflected on the annual PAR. The employee must have supervised one individual for approximately 50% of the time during the total rating period.

LEADERSHIP - This rating will be used for those individuals who do not qualify for the criteria under the heading as a supervisor but who deserve a rating as a potential or proven leader. Individuals in this category have demonstrated leadership skills but have not had the opportunity to supervise. Leadership potential is being evaluated.

OC TENURE - The experience in OC is being addressed in this category. Tenure is defined based on the EOD date in the Office of Communications versus the Agency. Components assign a value based on this date. Tenure will be rounded to the nearest whole year.

INTERPERSONAL RELATIONS - Consider the individual's ability to represent the component, Office, and Organization, and to work effectively with subordinates, peers, and supervisors.

CREATIVITY - Consider either the innovative or problem solving aspects. The individual's ability to recognize problems, and to choose logical solutions with discriminate use of resources. Also, the individual's talent for suggesting and developing methods or procedures and the degree to which the individual recognizes and supports suggestions made by others.

INITIATIVE - Consider the degree to which the individual identifies needs, organizes, devises and undertakes additional tasks and responsibilities and takes advantage of opportunities to offer meaningful contributions. Also, consider the amount of supervision the individual requires, and efforts made toward self-improvement.

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SELF EXPRESSION - For written correspondence consider grammar, clarity, organization, and the ability to use a style appropriate for the task. For oral communications consider the ability to exchange information. The ease with which an individual elicits and shares information with others and is an attentive listener.

DEDICATION - Consider how responsive the individual is to the needs of the Office and how disciplined, dependable and punctual is he/she in difficult situations.

JUDGEMENT - Consider the individual's ability to make sound recommendations and correct decisions, especially when the available information is incomplete, ambiguous, or conflicting.

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CONFIDENTIAL**BANDING PAR AND EVALUATION SCHEDULE**

Level 4 - PAR report end for employees to be considered for SIS	31 Jan
Due in to Hqs	28 Feb
All other Level IV employees	31 May
Due in to Hqs	30 June
Level 2, 3 - PAR report ending period	30 April
Due in Hqs	31 May
Level 1 - PAR report ending period	31 May
Due in Headquarters	30 June
Increments awarded	First pay period in August

Headquarters Evaluation Schedule

Band Level I	- 15 August
Band Level II	- 15 July
Band Level III	- 31 July
Band Level IV	
Employees to SIS	- 31 March
All other Level IV	- 15 July

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CATEGORY I

These employees possess and are presently using experience, knowledge and talents to a degree that is clearly exceptional in comparison with their peers; they excel in current job assignments. Their personal characteristics and work performance clearly suggest the potential for rapid upward movement through positions of increasingly greater responsibility, performing strongly in each job assignment. They will require minimal time to increase their potential in the upward progression. Their performance would be excellent in any job within their Band and in many jobs within the next higher Band.

CATEGORY II

These employees possess and are using experience, knowledge and talents to perform strongly. Their personal characteristics and work performance indicate a capability for steady advancement upward through positions of increasingly greater responsibility, performing strongly in each job assignment. They have the capability to increase their potential in each job. They could perform strongly in any job within their Band and in some jobs within the next higher Band.

CATEGORY III

These employees possess and are using experience, knowledge and talents to perform well in positions at their current grade level but have not demonstrated the potential to perform successfully at higher levels of responsibility. Their personal characteristics and work performance tend to indicate that they are close to realizing or have realized their potential. They could perform satisfactorily in any job within their Band but, at this time, in few jobs within the next higher Band.

CATEGORY IV

These employees may or may not possess experience, knowledge and talents to perform satisfactorily; however, their overall work performance reflects specific deficiencies or the inability to meet important aspects of work requirements. Their potential for growth shows no evidence of improvement in their current job assignment.

POTENTIAL

This is an evaluation of an individual's capability to assume higher-level responsibilities, and to develop, grow and advance in substantive assignments and/or managerial positions. At the higher levels, i.e., Band IV, potential should be evaluated as the extent an individual's knowledge, talents and skills can be applied to a variety of assignments within OC, elsewhere in the Agency or Intelligence Community.

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BANDING TASK FORCE

Band LEVEL I (Trainee Level)

Movement within Band LEVEL I Advancement within Band LEVEL I will be considered at three stages (segments)

Segment 1:

Phase 1 - Formal training - 36 weeks
Increment 1 through 12

Normally EODs will enter at Level I, Increment 7

Good performers (top 50 percent) would get 1 increment midway through the course.

Exceptional performers (top 10 percent) would get 2 increments midway through the course.

All trainees would be advanced to Increment 13 upon successful completion of school (Phase 2) and with recommendation by Chief/Communications School.

Internal transfer will remain GS until successful completion of Phase 1 and exceptional performers (top 10 percent) will receive achievement awards as appropriate.

Segment 2:

Includes up to one year PCS U.S. assignment in Phase 2 training status (OJT). Employees cannot be in Phase 2 training longer than 12 months.

Exceptional performers could skip Phase 2 training and be assigned PCS.

Pay advancement during Phase 2 training can be made through Increment 17.

There would be one review for advancement after six months in Segment 2 using first annual PAR evaluation and evaluation descriptor. This would occur about mid-point of Segment 2. Increments determined by supervisors with approval D/CO.

After initial one-year review, employees will have annual reviews in conformance with the OC evaluation system.

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Segment 3:

Employees will remain in Band LEVEL I until all promotion criteria for Band LEVEL II are met.

Advancement during this period can be made through Increment 32 based on annual evaluation.

Selection out to be considered for employees not meeting promotion criteria to Band LEVEL II at the end of 8 years.
(We envision an average of 5 years to complete Band LEVEL I)

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C O N F I D E N T I A L

BAND LEVEL II (Operations LEVEL)

Promotion into Band LEVEL II requirements:

All employees must meet minimum CP requirements

Minimum Overall PAR rating of 4 on current PAR

Completion of Agency provisional period (3 Years)

RYBAT and Security acceptable

Recommendation by component chief

Category IV employees will not be eligible for Band LEVEL II

Must have completed a minimum of three years in Panel D

Promotion to Band LEVEL II must equal a minimum of four increments

C O N F I D E N T I A L

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C O N F I D E N T I A L

BAND LEVEL IV (Staff/Senior Operations)

Promotion into Band LEVEL IV requirements:

Minimum overall PAR rating of 5

Minimum of 2 PCS U.S. assignments and 3 PCS overseas assignments.

Must have one tour as Staff Officer (2 Yrs.)

Must have experience as Section or Branch Chief (2 Yrs. Minimum)

Minimum of Category II

Minimum PAR rating of 5 on managerial/supervisory duties

RYBAT and Security acceptable

Recommendation for promotion

All promotions to Band LEVEL IV will be at least 4 increments

C O N F I D E N T I A L